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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Patent Application of

James Peterson et al.

Application No.: 09/654,627

Filed: September 5, 2000

For: SYSTEM AND METHOD FOR
TAX SENSITIVE PORTFOLIO
OPTIMIZATION

Confirmation No.: 3624

Group Art Unit: 3624

Examiner: Sally Shih

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JUL 13 2004

**RESPONSE TO OFFICE ACTION
MAILED APRIL 5, 2004****GROUP 3600**353 Sacramento Street, Suite 2200
San Francisco, CA 94111
(415) 772-4900M/S AMENDMENT
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450**CERTIFICATE OF MAILING**I hereby certify that this correspondence is being deposited with the United States Postal Service as First Class Mail in an envelope, addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on July 1, 2004.

STALLMAN & POLLOCK LLP

Dated: 07/1/2004

By:

Georgia K. Stith

Sir:

In response to the Office Action mailed April 5, 2004, please amend the above-identified application as follows:

Amendment to the Claims are reflected in the listing of claims which begins on page 2 of this paper.

Remarks/Arguments begin on page 4 of this paper.